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## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/753,033	12/30/2000	Timothy R. Collier	42390P10501

CONFIRMATION NO. 9680

## FORMALITIES LETTER



\*OC000000006120689\*

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP  
Seventh Floor  
12400 Wilshire Boulevard  
Los Angeles, CA 90025-1026

Date Mailed: 05/29/2001

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JUL 31 2001

Technology Center 2100

## NOTICE OF INCOMPLETE REPLY (NONPROVISIONAL)

*Filing Date Granted*

The U.S. Patent and Trademark Office has received your reply on to the Notice mailed and it has been entered into the nonprovisional application. The reply, however, does not include the following items required in the Notice.

The period of reply remains as set forth in the Notice. You may, however, obtain EXTENSIONS OF TIME under the provisions of 37 CFR 1.136 (a) accompanied by the appropriate fee (37 CFR 1.17(a)).

A complete reply must be timely filed to prevent ABANDONMENT of the above-identified application.

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

*A copy of this notice MUST be returned with the reply.*

*WTF*  
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

Our Docket No: 42390P10501



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: )

Collier, et al. )

Examiner: Not yet assigned

Application No.: 09/753,033 )

Art Unit: 2164

Filed: December 30, 2000 )

For: A TENTATIVE-HOLD BASED )

PROTOCOL FOR DISTRIBUTED )

TRANSACTION PROCESSING )

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RESPONSE TO NOTICE OF INCOMPLETE REPLY  
(NONPROVISIONAL)

Assistant Commissioner for Patents  
Box Missing Parts  
Washington, D.C. 20231

Sir:

In response to the Notice of Incomplete Reply (Nonprovisional) mailed May 29, 2001,  
please find enclosed:

(1) true and correct copies of Applicant's Response to Notice to File Missing Parts and  
accompanying documents mailed on May 14, 2001; and

(2) a copy of the Notice of Incomplete Reply.

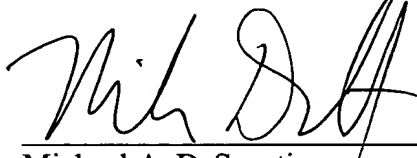
Applicant has previously filed a Response to Notice to File Missing Parts in which  
substitute drawings in compliance with 37 C.F.R. §1.84(g) were submitted to Box Missing Parts.  
Applicant assumes the Patent and Trademark Office has received these substitute drawings and  
finds them to be satisfactory.

If any additional fee is required, please charge Deposit Account No. 02-2666. A duplicate of this Response is enclosed for deposit account charging purposes.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date: 4/25/01



Michael A. DeSanctis  
Reg. No. 39,957

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JUL 31 2001

Technology Center 2100

12400 Wilshire Boulevard  
Seventh Floor  
Los Angeles, California 90025-1026  
(303) 740-1980

FIRST CLASS CERTIFICATE OF MAILING

I hereby certify that I am causing the above-referenced correspondence to be deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated below and that this paper or fee has been addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231

Date of Deposit: June 28, 2001

Name of Person Mailing Correspondence: Fran C. Rolfsen

Fran C. Rolfsen  
Signature

6-28-01  
Date

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN, LLP  
7887 EAST BELLEVIEW AVENUE, SUITE 800  
DENVER, CO 80111

WELLS FARGO BANK

001487

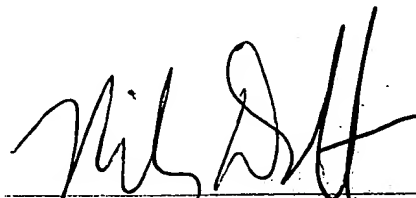
May 11, 2001

11-24  
1210(8)

PAY One hundred ten and no/100ths ----- DOLLARS \$ 110.00

TO  
THE  
ORDER  
OF

Director of the United States  
Patent and Trademark Office



AUTHORIZED SIGNATURE

⑈001487⑈ ⑆121000248⑆ 4801 914714⑈

DO NOT CASH THIS CHECK UNLESS YOU CAN SEE THE WORDS "CHECK PROTECT" ON REVERSE SIDE

DETACH AND RETAIN THIS STATEMENT  
THE ATTACHED CHECK IS IN PAYMENT OF ITEMS DESCRIBED BELOW.  
IF NOT CORRECT PLEASE NOTIFY US PROMPTLY. NO RECEIPT DESIRED.

Fee for one-month extension of time to file Response to  
Notice to File Missing Parts (corrected drawings):  
Intel Corporation  
42390P10501  
"A Tentative-Hold Based Protocol For Distributed  
Transaction Processing"  
EHT/MAD/fr

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JUL 31 2001

Technology Center 2100



001487

Our Docket No: 42390P10501

PATENT



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Collier, et al.

Application No.: 09/753,033

Filed: December 30, 2000

For: A TENTATIVE-HOLD BASED  
PROTOCOL FOR DISTRIBUTED  
TRANSACTION PROCESSING

Examiner: Not yet assigned

Art Unit: 2164

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**JUL 31 2001**

**Technology Center 2100**

**RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION  
(FILING DATE GRANTED)**

Assistant Commissioner for Patents  
Box Missing Parts  
Washington, D.C. 20231

Sir:

In response to the Notice to File Missing Parts of Application (Filing Date Granted)  
mailed February 28, 2001, please find enclosed:

- (1) nine (9) pages of substitute drawings in compliance with 37 C.F.R. §1.84;
- (2) a check in the amount of \$110.00 representing an extension for reply within the first month;
- (3) a copy of the Notice to File Missing Parts of Application;

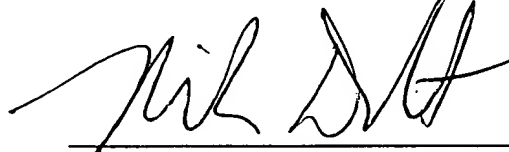
Applicant has previously submitted a Response to this Notice to File Missing Parts of Application in which the executed Declaration and Power of Attorney was transmitted to the Patent and Trademark Office. A check in the amount of \$130.00 in payment of the surcharge per 37 C.F.R. §1.16(e) was also enclosed.

If any additional fee is required, please charge Deposit Account No. 02-2666. A duplicate of this Response is enclosed for deposit account charging purposes.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date: 5/11/01



Michael A. DeSanctis  
Reg. No. 39,957

12400 Wilshire Boulevard  
Seventh Floor  
Los Angeles, California 90025-1026  
(303) 740-1980

FIRST CLASS CERTIFICATE OF MAILING

I hereby certify that I am causing the above-referenced correspondence to be deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated below and that this paper or fee has been addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231

Date of Deposit: May 14, 2001

Name of Person Mailing Correspondence: Fran C. Rolfsen

Fran C. Rolfsen  
Signature

5-14-01  
Date



## FEE TRANSMITTAL FOR FY 2001

TOTAL AMOUNT OF PAYMENT (\$) \$ 110.00

Complete if Known:

Application No. 09/753,033  
Filing Date December 30, 2000  
First Named Inventor Timothy R. Collier, et al.  
Group Art Unit 2164  
Examiner Name Unassigned  
Attorney Docket No. 42390P10501

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### METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number 02-2666  
Deposit Account Name \_\_\_\_\_

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed: ☒ Check  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
Credit Card  
Money Order  
Other

### FEE CALCULATION

#### 1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Code	Fee (\$)	Code	Fee (\$)		
101	710	201	355	Utility application filing fee	_____
106	320	206	160	Design application filing fee	_____
107	490	207	245	Plant filing fee	_____
108	710	208	355	Reissue filing fee	_____
114	150	214	75	Provisional application filing fee	_____

SUBTOTAL (1) \$ \_\_\_\_\_

#### 2. EXTRA CLAIM FEES

		Extra Claims	Fee from below	Fee Paid
Total Claims	_____	- 20** = _____	X \$ 18.00	= \$ _____
Independent Claims	_____	- 3** = _____	X \$ 80.00	= \$ _____
Multiple Dependent	_____			= _____

\*\*Or number previously paid, if greater; For Reissues, see below.

Large Entity		Small Entity		Fee Description
Code	Fee (\$)	Code	Fee (\$)	
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) \$ \_\_\_\_\_

FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
105	130	205	65	Surcharge - lat filing fee or oath
127	50	227	25	Surcharge - lat provisional filing fee
				or cover sheet
139	130	139	130	Non-English specification
147	2,520	147	2,520	For filing a request for ex parte reexamination
112	920*	112	920*	Requesting publication of SIR prior to Examiner action
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action
115	110	215	55	Extension for reply within first month
116	390	216	195	Extension for reply within second month
117	890	217	445	Extension for reply within third month
118	1,390	218	695	Extension for reply within fourth month
128	1,890	228	945	Extension for reply within fifth month
119	310	219	155	Notice of Appeal
120	310	220	155	Filing a brief in support of an appeal
121	270	221	135	Request for oral hearing
138	1,510	138	1,510	Petition to institute a public use proceeding
140	110	240	55	Petition to revive - unavoidable
141	1,240	241	620	Petition to revive - unintentional
142	1,240	242	620	Utility issue fee (or reissue)
143	440	243	220	Design issue fee
144	600	244	300	Plant issue fee
122	130	122	130	Petitions to the Commissioner
123	130	123	130	Petitions related to provisional applications
126	180	126	180	Submission of Information Disclosure Stmt
581	40	581	40	Recording each patent assignment per property (times number of properties)
146	710	246	355	For filing a submission after final rejection (see 37 CFR 1.129(a))
149	710	249	355	For each additional invention to be examined (see 37 CFR 1.129(b))
179	710	279	355	Request for Continued Examination (RCE)
169	900	169	900	Request for expedited examination of a design application

Other fee (specify) \_\_\_\_\_

Other fee (specify) \_\_\_\_\_

SUBTOTAL (3) \$ 110.00

\*Reduced by Basic Filing Fee Paid

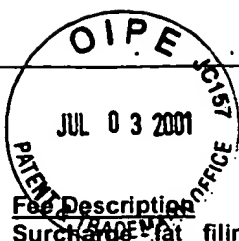
## SUBMITTED BY:

Typed or Printed Name: Michael A. DeSanctisSignature: *Michael A. DeSanctis*Date: 5/11/01Reg. Number: 39,957Telephone Number: (303) 740-1980

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

## FIRST CLASS CERTIFICATE OF MAILING

I hereby certify that I am causing the above-referenced correspondence to be deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated below and that this paper or fee has been addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231

Date of Deposit: May 14, 2001Name of Person Mailing Correspondence: Fran C. RolfsenSignature: *Fran C. Rolfsen*Date: 5-14-01

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F Paid 1111 31 2001

Technology Center 2100





## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

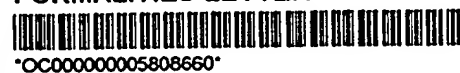
APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/753,033	12/30/2000	Timothy R. Collier	42390P10501

CONFIRMATION NO. 9680

## FORMALITIES LETTER

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP  
Seventh Floor  
12400 Wilshire Boulevard  
Los Angeles, CA 90025-1026

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MAR - 6 2001



\*OC000000005808660\*

Date Mailed: 02/28/2001

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN  
LOS ANGELES

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NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION JUL 31 2001

FILED UNDER 37 CFR 1.53(b)

Technology Center 2100

Filing Date Granted

**ENTERED**

MAR - 6 2001

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

The application is informal since it does not comply with the regulations for the reason(s) indicated below. Applicant is given TWO MONTHS from the date of this Notice within which to correct the informalities indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

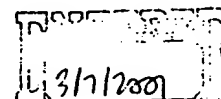
- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. ( 5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

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A copy of this notice MUST be returned with the reply.

DIGITAL DATABASE DEPT.

JC





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MAY 29 2001

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN  
LOS ANGELES

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JUL 31 2001

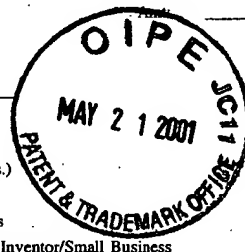
Technology Center 2100

Serial/Patent No.: 09/753,033 Filing/Issue Date: Dec. 30, 2000  
Client: Intel Corporation  
Title: A Tentative-Hold Based Protocol For Distributed Transaction Processing  
BSTZ File No.: 42390P10501 Atty/Secty Initials: EHT/MAD/fr  
Date Mailed: 5-14-01 Docket Due Date: 4-28-01

The following has been received in the U.S. Patent & Trademark Office on the date stamped hereon:

- |  |  |   |
|--|--|---|
| <input type="checkbox"/> Amendment/Response (____ pgs.)  | <input type="checkbox"/> Express Mail No.: _____                                     | <input checked="" type="checkbox"/> Check No. <u>1487</u> |
| <input type="checkbox"/> Appeal Brief (____ pgs.) (in triplicate)                              | <input checked="" type="checkbox"/> <u>one</u> Month(s) Extension of Time            | Amt: <u>\$110.00</u>                                      |
| <input type="checkbox"/> Application - Utility (____ pgs., with cover and abstract)            | <input type="checkbox"/> Information Disclosure Statement & PTO 1449 (____ pgs.)     | <input type="checkbox"/> Check No. _____                  |
| <input type="checkbox"/> Application - Rule 1.53(b) Continuation (____ pgs.)                   | <input type="checkbox"/> Issue Fee Transmittal                                       |   |
| <input type="checkbox"/> Application - Rule 1.53(b) Divisional (____ pgs.)                     | <input type="checkbox"/> Notice of Appeal  |   |
| <input type="checkbox"/> Application - Rule 1.53(b) CIP (____ pgs.)                            | <input type="checkbox"/> Petition for Extension of Time                              |   |
| <input type="checkbox"/> Application - Rule 1.53(d) CPA Transmittal (____ pgs.)                | <input type="checkbox"/> Petition for _____  |   |
| <input type="checkbox"/> Application - Design (____ pgs.)                                      | <input checked="" type="checkbox"/> Postcard   |   |
| <input type="checkbox"/> Application - PCT (____ pgs.)   | <input type="checkbox"/> Power of Attorney (____ pgs.)                               |   |
| <input type="checkbox"/> Application - Provisional (____ pgs.)                                 | <input type="checkbox"/> Preliminary Amendment (____ pgs.)                           |   |
| <input type="checkbox"/> Assignment and Cover Sheet  | <input type="checkbox"/> Reply Brief (____ pgs.)                                     |   |
| <input checked="" type="checkbox"/> Certificate of Mailing                                     | <input checked="" type="checkbox"/> Response to Notice of Missing Parts              |   |
| <input type="checkbox"/> Declaration & POA (____ pgs.)   | <input type="checkbox"/> Small Entity Declaration for Indep. Inventor/Small Business |   |
| <input type="checkbox"/> Disclosure Docs & Orig & Copy of Inventor's Signed Letter (____ pgs.) | <input type="checkbox"/> Transmittal Letter, in duplicate                            |   |
| <input checked="" type="checkbox"/> Drawings: <u>9</u> # of sheets includes <u>9</u> figures   | <input checked="" type="checkbox"/> Fee Transmittal, in duplicate                    |   |

☒ Other: Copy of Notice to File Missing Parts



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JUN 01 2001

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12

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JUN 04 2001

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN, LLP  
DENVER

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MAY 30 2001

STATUS DB-LA